

“DEMYSTIFICATION”
THE KEY IS SUCCESSION PLANNING

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South Carolina state government is in crisis like never before. We are experiencing a budget deficit greater than ever in history. With the budget crisis comes tremendous budget cuts, which in turn creates reduction in force initiatives. As there are RIF's, the workload does not go away. In fact, it often increases. State government is being expected to do more with less. Legislators and taxpayers are demanding more efficiency and effectiveness. As well they should, no one wants waste. This has led our legislators to discuss continued restructuring of our government. With this, it leaves the state employee lacking what was once the comfort of being a state employee, the job security and opportunity for a long career that would lead to retirement. Well, state government changes and so must the employees. This change must occur at all levels. We must work smarter and often work with less.

An interesting addition to this equation is that the majority of the state government work force is about to retire. This will prove fascinating. Will this only aid with the inevitable RIF's needed to aid in the budget crisis? Or will this most likely leave our state with a pool of employees who are not ready to fill the more experienced retiring employees' shoes? What about attracting new employees into state government? Not many people are seeking an unstable climate. To further compound this matter, even if we solve the matter of improving the quality of our existing pool of employees to have them succeed our retiring comrades, the problem is there just is not an even ratio. The fact is that we are not going to have enough employees to fill these vacating slots. This is clearly not something that the legislature is educated about or paying attention to when making decisions. So, we are in a crisis and the crisis is going to get worse.

Where does this leave the state government agencies? This leaves us with the urgency to do planning. Planning of all types, but for the purpose of this paper, I will focus on succession planning. Succession planning is traditionally thought of as it relates to top positions. This is still true but it expands to all key positions. Regarding top positions, the Department of Alcohol and other Drug Abuse Services (DAODAS) is a cabinet level agency that directly implies a potential changing of the guard every 4 years. The changing of the guard is naturally the state director who will be chosen by the governor but also the deputies will change. Wouldn't it be helpful DAODAS had an existing succession plan that the new director could explore when they want to identify deputies or other key positions? Wouldn't it be helpful for new deputies either identified within or outside the organization, to be able to review the succession plan to aid in its continuation or aid when restructuring? A succession planning effort will just as importantly help during the "stable" four years by helping build capacity within a particular organization and also within state government in general.

To bring this point down to a program level, the following examples will demonstrate the need for succession plans. Within this past year alone, I, as a middle manager, have had two key positions impacted. In the first position, my Director of the Bridge and JGR (an intensive case management and wraparound program for juvenile offenders re-entering their communities) programs left quickly. This was not something that could be planned for ahead of time, or could it have been? Essentially, within the Treatment section of DAODAS, I have several program managers. This particular position supervised some

employees and had some supervisory capacity within the field (our local 301 alcohol and drug service agencies that DAODAS contracts with). She had been with the program since it's inception and built it to gain recurring funds from the legislature. When I came to DAODAS, it was communicated that this employee "ran" her own shop very well and it was clear she did not need to be micromanged. This is the case for many employees at DAODAS. They have history with programs and are independent. Therefore, I, as a manager, left her to run her area with little interference. My mistake was not planning for her inevitable departure. When she departed rather quickly, I was left manning the ship. The problem was that although staff was helpful and supplied what knowledge they could, this process was less than adequate. This staff member left the agency and left me without the knowledge that she possessed. In fact I was able to find some actual staff manuals, which were helpful, but they were not exhaustive. If there had been a plan, a succession plan, perhaps someone or several staff would've been capable of providing the needed knowledge to keep the program from missing a beat or would've even been able to move into that position. Instead the reality was that I spent an indescribable amount of frustrating time researching and figuring out what and how she did what she did. This took me away from a majority of my job duties and left the program struggling. I found myself with the desperate need for standard operating procedures of some type.

The second example is in the Alcohol and Drug Safety Action Program (ADSAP), DAODAS' partnership with the Department of Public Safety to provide administrative and clinical services to those persons convicted of drinking while driving. In this

scenario, DAODAS has only one employee who holds all the knowledge to a legally mandated program. This employee is the state coordinator who oversees the drinking and driving program for the state. DAODAS was hit with another blow, this employee had to have back surgery and has been out at least 6 months with no definitive date of return. Again, in this scenario, the few staff that has bits and pieces of knowledge has helped, but are only able to do so in a limited capacity. The blessing is that this employee has been doing some work from home. However, as we have tried to engage this employee in assisting with knowledge sharing to train other staff in her absence, we have experienced resistance. This is another variable to be aware of, that staff need to understand that succession planning is not an effort to push them out the door but to instead prevent the agency from a disability if the employee leaves.

Why has DAODAS allowed employees to become so specialized? Why hasn't the staff been cross-trained? Well, in talking with staff, it appears that over the years the treatment staff has dwindled and has even inherited staff that has absolutely no clinical knowledge at all. This has left most of the treatment staff overwhelmed and stretched in their workload. Well in trying to maximize these inappropriately placed individuals' time or to even consider restructuring, DAODAS, along with the rest of state government, has become immobilized by fear of conflict and lawsuits. While this paper in no way attempts to address or solve this multitude of problems, it does attempt to outline the desperate need that DAODAS and the rest of state government has for succession planning and change in general. It is time to become free from fear, to acknowledge

talent, encourage growth, and maximize resources.

In conducting a literature review on these areas of concern, it became clear that one tangible effort in the positive direction would be succession planning. The messages within literature are similar whether one is looking at family business, private corporations, or the public sector. Below are some of the recurring themes, messages, and lessons learned in the areas of succession planning.

In the area of family business, this is of vital concern. Often succession planning means the success or failure of the company, which would also translate, to family income and inheritance issues, not to mention customer needs. As one-article states, *Hard and fast rules do not exist when it comes to succession planning. There is no one correct way to do it. There are big emotional problems involved, as well as preserving the business, which is what one basically wants to achieve.* [1] It is important to acknowledge that in the family business, there are some additional aspects that are unique but still may have utility in state government. As one family business owner stated, *“Part of the success of the transition relies upon keeping open channels of communication. Communication is key. We have a family atmosphere and we involve the employees in the business.”* [2] While some issues are less relevant. *“Many entrepreneurs spend their entire lives sacrificing time and energy only to have the whole organization fall apart and maybe tear the family apart in the process.”* [2] However the differences, one thing remains in agreement, that if you don’t have succession planning, *it is like tooth decay, the problem*

gets bigger the longer you wait [2] and state government has waited a long time. It is important to note that even family businesses are learning lessons from the corporate culture and not allowing sentimentality to solely guide their actions. They write, “Don’t be afraid to hire the very best talent.” “Non family member executives can be a great boon to a company as well as a wonderful opportunity for the executive.” “It is worth it to pay for big talent even in a small firm”. “It requires having knowledge, confidence, and faith in the successor.” [2]

Perhaps the most progressive arena of succession planning is within the private sector. It is because of their progression that they realize the need. The need was never more exemplified than after September 11th. As we know the incredible loss of life, buildings and planes were unbelievable. *But even before the dust had settled and anyone had a chance to grieve, several companies had to face the sobering fact that they had lost key executives who were on the planes and in the buildings. They immediately had to identify positions, competencies, and skills that they needed just to stay afloat.* [3] That is most often how state government operates, we do what we can to stay afloat, always reacting, not planning and then acting. *Without a well-designed succession management system, an organization can find itself thrown into chaos and confusion.* [3]. *Best practice organizations use succession planning to prepare for potential problems and disasters but they also rely on such plans to develop and maintain the strong leadership that’s required under normal conditions.* [3] As one businessman once said, *A business without a succession plan is not a business, it is someone’s hobby.* [4]

Thinking about succession planning is one that takes careful, strategic and long term planning. There are vast mistakes if this process is not implemented methodically. As many businesses have learned, *enterprises do not need the added burden and risk of abruptly replacing senior people in a no-succession plan vacuum. Decisions may be made too quickly, expectations of new executives may be excessive, integrating new executives fast may win out over doing it properly, and the executive team may fragment as individuals focus on their own interests that may or may not be to the enterprise's.* [5]

As we look at succession planning in the private sector and relate it to state government, we must recognize that we must make this part of the culture. To be successful it is essential that this be integrated into all levels of the system and must be monitored regularly. *For a large company, the issue is succession of responsibilities. These companies need to transfer knowledge to other executives.* [6] To ensure that succession planning becomes part of the culture, all key stakeholders need to support this initiative and be involved. In some companies, *a detailed succession plan in place is mandated by its board and is reviewed by the board and all corporate officers.* [6] To further integrate into a culture there needs to be a mindset change. As with GE their philosophy is, *it is not about playing favorites with your younger talent, it is about increasing the odds that a number of talented people will gain enough of this diverse experience (because it takes time) to succeed, to demonstrate results, at each level. These developmental assignments are always in short supply, so early differentiation is critical. Therefore, in addition to embracing effective tools and processes, senior leaders must adopt a mindset about talent*

in which: 1. Talent is a constant priority in decision making, 2. Blocks of time appear on the management agenda continuously, not annually, 3. Difficult judgments are made that differentiate people, 4. Development is not an off-line activity, but the result of placing talented people in the right stretch assignments, supported by effective bosses and coaches (and occasional education or training). [7]

As state government looks at this initiative, we can learn lessons from the private sector. We can even adopt similar tools to aid in this venture. The company of WellPoint has been recognized as utilizing a *Human Resource Planning System*. This system contains *detailed information on possible candidates for promotion within the company. The system includes performance evaluations, rundowns of the candidates' accomplishments at the company, self-ratings, and information about the person's career goals.* [8] This enables the company to manage succession planning with a *degree of orderliness and efficiency that other companies find unimaginable. The system allows executives and the HR team to identify and evaluate viable candidates for every management post in the company. It spots and tracks the development of promising internal talent, and enables top management to identify candidates throughout the corporation. At the same time it spots positions in areas where the company's bench strength is thin, slots that might be filled most effectively by recruiting outside talent.* [8] It is quite possible to envision utilizing a similar tool in state government, particularly at DAODAS to aid in succeeding management positions but also in any key position.

The company Pepsico utilizes a similar methodology. They use Acceleration Pools. These are used to *develop executive talent through acceleration pools comprised of high potential candidates who are tracked by the senior management team. This pool develops candidates for executive levels, rather than targeting one or two hand picked people for each executive position.* [9] Within state government, it is my opinion that the Certified Public Manager program is a related concept. Another interesting component of the Pepsico acceleration pools is that the *candidates are assigned to a mentor, receive more feedback, coaching and training, and participate in experiences such as university executive programs and in-company action learning sessions.* [9] The two main points that acceleration pools do is provide an accurate diagnosis of development needs and provides an environment that motivates individuals to change. Within the private sector there are many Gold Standard succession-planning programs. Capital One Financial Corporation has dedicated a *“Competency and Development Unit that created a team whose only focus is to provide opportunities to accelerate development within the company’s executive ranks”.* [10] It is evident that with budget cuts in state government that this would be unlikely, but borrowing from innovative ideas or using them as a place to jump-start the brainstorming effort is reasonable. One area that is of particular interest is finding opportunities to cross train staff that will enable a broader base of knowledge, an ability to assist team members, and even an ability to run job duties in the absence of the primary staff member. The company Footstar has tackled this problem as demonstrated by the following statement, *“Part of succession planning strategy comprises job rotation assignments that not only further development, but also create*

opportunities for internal promotions and cross divisional transfers”. [10] The Intel Corporation who is ranked #6 in succession planning began with changing the culture with the belief that, *experience is the best teacher and the meritocracy, meaning performance and skills determine fit for a position*. [10] These beliefs followed by actions would do wonders for state government in moving towards a performance-based system rather than operating under old patterns and fears. Basically, succession planning for DAODAS would do as Intel and *evaluate candidates on how well they exemplify the Intel (DAODAS) values in their day-to-day performance and are given feedback to that effect*. [10] Essentially, the list is lengthy of all the private sector companies that have undergone a succession-planning regime. More specifically, the bulk of them seem to have various forms of leadership programs, which in many ways resemble the Certified Public Manager program. So, South Carolina State government can feel ahead of the curve when it comes to the CPM program, as that seems to be the most recent concentrated effort at succession planning. While the CPM program is extremely valuable to state government and to individual agencies, it is also important for each agency to go a step further to develop individual succession plans tailored for that organization.

In this entire literature review of succession planning, only one article was found that dealt with succession planning in state government. Fortunately, this was an excellent article. Initially this article begins much as this paper does, with a call for state government to come to attention and recognize the changed landscape. It states, *forces*

are causing the public sector employees to wake up to the fact that the employees being hired today will likely not be the same workers they will see retire in 20-30 years. In fact, the concept of retirement as we know it today, may become extinct, replaced by self driven investment opportunities that allow workers to take their savings with them from employer to employer. The promise of retirement will no longer lure workers to the government sector. [11] This article raises the point of the mindset of the Generation X and Y employees and how they are different. It notes that it is common for them to change jobs frequently. They reference that employees today are focused on wanting to have positions that will provide a learning environment, which will assist them with future goals. This further emphasizes the need for employees to see a career path and to be able to believe that hard work is recognized and pays off. In speaking to one of the earlier points in this paper, this article also acknowledges the shrinking pool of employees. *“Baby boomers, the core of our current workforce make up roughly 78 million workers. As they are beginning to enter the retirement ranks, the Generation Xers are close behind to fill their shoes. However, with around 58 million Xers in the workforce, there are less people available to fill a growing number of positions. Finally the Net Generation is larger than Generation X, at roughly 60 million workers and future workers. We will soon be fishing in a pond with fewer and fewer fish.”* [11] Clearly government, particularly at the local level, can expect to be more strongly impacted by retirements in the near future and will have a proportionately larger demand for workers to replace those who leave the job market. This translates into a more urgent need to prepare competent new staff to take over the leadership of our public sector organizations. [11]

It is estimated that at least a 33% turnover rate at the executive ranks will occur in the next five years. [11] At one time succession planning meant solely focusing on the immediate needs of the work unit and was usually focused on filling one position. However, today, succession planning means so much more. Today it means long term planning that involves talent management that focuses on the strategic needs of the organization. *Talent management consists of six key elements: alignment of the organizational strategy with the core values, top management leadership, line management ownership, substantial and frequent talent reviews, a focus on development from within, and incentives for investment in development.* [11] This can take on many forms, as there is no one way to do this. Some examples are: *job rotation, new staff assignments for long term employees, Top Gun academies (Ex. CPM), 360 degree feedback tools, personal coaches, co-managers for critical functions to ease older leaders into retirement and prepare new leaders for their new roles, and outsourcing hard to fill functions and diverting existing staff to more strategic roles.* [11] The article also reminds us of the value of older workers. *First organizations must do their best to retain older workers and maximize their contributions.* [11] This appears to be similar to the SC Terri program. In addition, *knowledge management efforts-a planned approach intended to capture the organizations memory-may be appropriate for those organizations concerned about losing information when a long time employee leaves.* [11] As correct as that statement is, the knowledge management effort needs to be looked at for all key positions in state government, not just retirees. It was refreshing to see this

article address one of the key barriers that prevents state government from moving forward, the issue of personnel rules. *“Civil service government systems must begin to look for flexible ways to adjust old rules that are no longer applicable in today’s labor market. For example, some personnel rules state that the organization cannot fill a position until it is vacant. Many public sector agencies are bending this rule to allow the new leader to work side by side with the outgoing leader in order to learn as much as possible”*. [11] The good news is there are things that we can do, but we must act now. *The crisis can be diverted, and the public sector organizations can prosper but only through proactive staff development and retention efforts.* [11]

In short, the literature review demonstrates the need for succession planning in state government. It is a call for us to act so that we can begin to turn the tide. There are numerous methods of succession planning and there is no one correct way. Each organization must determine what best suits their individual needs, budget, strategic goals, and core values. Therefore, I will not try to solve all the problems of state government, but I will attempt to offer a small road map for the development of succession planning within DAODAS. I can realistically only identify the current problems and demonstrate the need. That I have done within this literature review and case examples. Beyond that I can now outline proposed steps that would be needed for a comprehensive succession plan at DAODAS. It will take the commitment from the executive management team and all levels to be truly successful. Since succession planning can be complex and ideally should be closely linked with Human Resources, as

well as tailored by the executive management team, I will offer the necessary steps for their review. The remaining discussion and steps that will be needed are derived and adapted from the book "Effective Succession Planning" by William J. Rothwell. [12]

As organizations and their people change so must succession planning. Changes that are causing innovation within succession planning are: organizations are no longer static, fewer employees plan on long tenure at their places of employment, and with this, fewer employers are willing to invest and spend large sums of money when job security and loyalty are uncertain. Therefore, the present trends and future challenges of succession planning are to permit increased participation in the process, adapt processes to flatter flexible organizational designs, make succession planning compatible with the change in emphasis from loyalty to merit, and to encourage increasing diversity.

There are seven essential and key steps in succession planning. When DAODAS considers developing a succession planning initiative, the below should be incorporated:

1. Make the commitment to systematic succession planning, and establish a succession-planning program. The executive management team of DAODAS should:

- Assess current problems and practices.
- Assess and demonstrate the need for the program.
- Determine the organization's exact succession planning program requirements.
- Link the succession-planning program directly to organizational and human resource strategic plans.

- Benchmark succession-planning practices in other organizations.
- Clarify the roles of different groups in the program.
- Formulate a program mission statement.
- Write a policy and procedures to guide the program.
- Identify target groups to be served by the program.
- Establish program priorities.
- Prepare an action plan to guide the program.
- Communicate the action plan.
- Conduct succession-planning meetings to unveil the program and review progress continuously.
- Train those involved in the program.
- Counsel managers about succession planning problems in their areas of responsibility.

2. Assess present work requirements.

- In this step, decision-makers should clarify where key positions exist and should determine the work requirements.

3. Appraise individual performance.

- DAODAS should begin by establishing an inventory of talent so that it is clear what human assets are available.

4. Assess future work requirements.

- This will be necessary challenge for DAODAS by virtue of it being a cabinet agency. However, this will help prepare future leaders to cope with changing

requirements.

5. Assess future individual potential and use 360-degree feedback.

- This will help DAODAS to identify the talents individual's possess and evaluate how well those talents match up to future work requirements. With this the
- organization should establish a process to assess future individual potential. This future oriented process should not be confused with past or present oriented employee performance appraisals. Finally, this provides clarity to all in regards to what qualities are needed for advancement.

6. Close the developmental gap.

- DAODAS will need to establish a continuing program to cultivate future leaders internally while also exploring alternatives to traditional promotion from within methods. Perhaps DAODAS and the 301 system could partner in a succession planning effort that will help the entire system whereas we would have a gauge on potential leaders throughout the state.

7. Evaluate the succession-planning program.

- Just as we have evaluation requirements for the 301 system, we need to be able to evaluate the succession planning effort.

In conclusion, it is clear that there is a need for succession planning in state government but more specifically at DAODAS. Understandably this is a daunting task, as it will require extreme commitment from the executive management team and the agency at large. If it is decided that DAODAS will undertake this initiative, it will require a tremendous amount of additional work to an already overflowing plate. However, the

agency is only as good as it's employees. Improving those lives that are affected by alcohol and other drug abuse is an awesome and commendable responsibility. The clients deserve the best services we can provide. We can only provide the best if we plan for the best. It is unfair to the clients, unfair to state government, and unfair to the taxpayers for us to continue responding to crisis rather than planning for succession. This paper serves as an invitation to state government to explore this issue further.

Footnote: Attached are several exhibits that can serve as templates to assist those who undertake this initiative. These are replicated and adapted from the book "Effective Succession Planning" by William J. Rothwell. Finally, this book is highly recommended as it goes into further detail in discussing the seven key steps in succession planning.

Exhibit: A

Questionnaire to assess the status of succession planning in an organization.

1. In your opinion, how well is DAODAS presently conducting succession planning? Circle your response in the left column. Next to your answer, briefly explain why you feel as you do.
 - Very well
 - Adequately
 - Inadequately
 - Very Poorly
2. Should this organization establish/improve its approaches to succession planning?
 - Yes
 - No
3. In your area of responsibility, which of the following have you established? Circle your response in the center column below.

<u>Question</u>	<u>Response</u>	<u>Comments</u>
a. A systematic means for identifying possible replacement needs stemming from retirement of other predictable losses of people?	Yes No	
b. A systematic approach to performance appraisal so as to clarify each individual's current performance?	Yes No	
c. A systematic approach to identifying individuals who have the potential to advance one or more levels beyond their current positions?	Yes No	
d. A systematic approach by which to accelerate the development of individuals who have the potential to advance one or more levels beyond their current positions?	Yes No	
e. A means by which to keep track of possible replacement by key position?	Yes No	

Please return the completed questionnaire to Human Resources by _____. Should you have any questions, feel free to call me at _____. You will receive a summary of the anonymous survey results by _____.

Exhibit: B

An interview guide for determining the requirements of a succession-planing program.

Directions: Use this interview guide to help you formulate the requirements for a systematic succession-planning program for DAODAS. Arrange to meet with top managers and pose the following questions. Record notes in the spaces below. Then use the results of the interview as the basis for preparing a proposal for how a systematic succession-planning program would look.

1. What are your thoughts about how to approach succession planning in this organization in a planned way?
2. How should key positions be defined in this organization?
3. How should work requirements of key positions be clarified?
4. How should current job performance be assessed?
5. How stable is the current organization structure? Will it be adequate to use as the basis for identifying key positions requiring successors in the future?
6. How should the qualifications or requirements for each key position be determined in the future?
7. How should individuals who have the potential to meet the qualifications for key positions be identified?
8. In your opinion, what are the essential resources that must be provided by the organization in order to accelerate the development of high potential employees?

9. How should the development and progress of high potential employees be tracked?
10. What other thoughts do you have about the essential requirements for an effective succession-planning program in this organization? Why do you believe they are essential?

Exhibit: C

In interview guide for benchmarking succession-planning practices.

Directions: Use this interview guide to help you prepare and share questions in advance of a benchmarking visit to an organization known for its effective succession planning efforts. Use the results in formulating a proposal for establishing or improving succession planning in your organization.

1. What mission statement has been established to guide succession planning in your organization?
2. What goals and objectives have been established for succession planning in your organization?
3. What policy and philosophy statement has been written to guide succession planning in your organization?
4. How does your organization define key position? What positions, if any, are given special attention in your succession-planning program? Why are they given that attention?
5. How does your organization identify, describe, or clarify the requirements of key positions? (For example, has your organization made an effort to identify job responsibilities, competencies, or success factors by level?).
6. How does your organization assess current job performance for succession planning purposes?
7. Does your organization use replacement charts based on the current organization chart? (If not, why not?)
8. How does your organization determine the qualifications or requirements for each future key position?
9. How does your organization attempt to integrate succession planning with organizational strategy? With human resources strategy?

10. How does your organization identify successors for key positions?
11. How does your organization identify high potential employees, those who are capable of advancing two or more levels beyond their current placement?
12. How does your organization establish individual development plans (IDPs) to accelerate the development of high potential employees?
13. What special programs, if any, has your organization established to accelerate the development of high potentials?
14. What special computer software, if any, does your organization use to support its succession planning program?
15. How does your organization evaluate the succession-planning program?
16. What special problems has your organization encountered with succession planning?
How have those been solved?

A worksheet to formulate a mission statement for succession planning.

Directions: Use this worksheet as an aid to formulate the mission of succession planning in your organization. Circulate the worksheet among decision-makers. Ask them to respond individually. Compile their responses and then feed them back as a catalyst for subsequent decision making about the mission statement.

1. What is a key position?
2. What is the definition of a high-potential (HiPo)?
3. What is the organization's responsibility in identifying HiPos, and what should it be?
4. What is the definition of an exemplary performer?
5. What is the organization's responsibility in identifying and rewarding exemplary performers? What should it be?
6. How should the organization fill key positions?
7. What percentage of vacancies in key positions should be filled from within? From without? What percentage should be handled through other means?
8. What percentage of key positions should have at least one identifiable backup (successor)?
9. In what percentage of key positions should there be holes (that is, no designated successor)?
10. What is the maximum time that exemplary performers should remain in their positions?

11. What should be the maximum allowable percentage of avoidable turnover among HiPos? Exemplary performers? What should be done to reduce it?
12. What should be the maximum allowable percentage of failures in key positions after individual advancement?
13. What percentage of key positions should be filled with employees from legally protected labor groups, such as women, minorities, and the disabled?
14. How should HiPos be prepared for advancement?
15. What should be the role and responsibility of each employee and the HR department in the process of developing HiPos?
16. How much should individual career goals be surfaced, considered, and tracked in succession planning?
17. How openly should the organization communicate with individuals who are identified to be HiPos about their status?
18. Draft a mission statement for the program. Ask: How does it contribute to achieving the organization's mission and strategic plans? What outcomes or results should be expected from it?

Exhibit: E

A sample succession planning policy.

Mission Statement

The purpose of the succession-planning program in DAODAS is to ensure a ready supply of internal talent for key positions at all times. This organization is fully committed to equal employment opportunity for all employees, regardless of race, creed, sex, religion, national origin, sexual orientation, or disability.

Policy and Philosophy

It is the policy of the DAODAS to help employees develop to the full extent of their potential and, to the extent possible for the organization, to help them achieve realistic career goals that satisfy both individual and organization requirements.

This organization is firmly committed to promotion from within for key positions, whenever qualified talent is available. This organization is also firmly committed to helping employees develop their potential so that they are prepared and qualified to assume positions in line with individual career goals and organization requirements.

Procedures

At least once each year, the organization will sponsor:

- A replacement planning activity that will assess how well the organization is positioned to meet replacement requirements by promotions or other personnel movements from within.
- Individual performance appraisals to assess how well individuals are meeting their current work requirements.
- Individual potential assessments to assess how well individuals are presently equipped for future advancement. Unlike a performance appraisal-which is typically focused on past or present performance-the focus of an individual potential assessment is on the future.
- Individual development planning to provide the means for action plans to help individuals narrow the development gap between what they already know or can do and what they must know or do to qualify for advancement.

The succession-planning program will rely heavily on the processes listed above to identify individuals suitable for advancement. The program will work closely in tandem with an in house career planning program, which is designed to help individuals identify their career goals and take proactive steps to achieve them.

Exhibit: F

Software makers for succession planning:

Blueprint

Vendor:
Criterion, Inc.
9425 N. MacArther Blvd.
Irving, Tex. 75063
214-401-2100

CARE-FOR

Vendor:
Charles Russ Associates
P.O. Box 6667
Shawnee Mission, Kans. 66206
913-338-1211

Executive Resource System

Vendor:
Organization Metrics, Inc.
10 Winchester Rd. E.
PO Box 550
Brooklin, Ont., Canada
905-655-8414

Executive TRACK

Vendor:
HRSoft, Inc.
123 N. Main St.
Fairfield, Ia. 52556
515-472-7720

Genesys Human Resource Planning System

Vendor:
Genessys Software Systems
5 Branch St.
Methuen, Mass. 01844
508-685-5400

Hay/McBer Xcel

Vendor:
McBer and Company
116 Huntington, Ave.
Boston, Mass. 02116
617-437-7080

Occupational Skills Analysis System (OSAS)

Vendor:
Educational Data Systems
1 Parklane Blvd.
Suite 701 W.
Dearborn, Mich. 48126
313-271-2660

Panavue

Vendor:
Iris International, Inc.
2810 E. Oakland Park Blvd.
Suite 304
Ft. Lauderdale, Fla. 33306
305-564-0408

RESTRAC PLAN (formerly success plan)

Vendor:
RESTRAC (formerly micro Trac Systems)
1 Dedham, Mass. 02026
617-320-5600

SKILLS 2000

Vendor:
Educational Technologies
1007 Whitehead Rd. Ext.
Trenton, N. J. 08638
609-882-2668

Succession Plus

Vendor:
Nardoni Associates, Inc.
1465 Route 31 S.
Annandale, N. J. 08801
800-338-9701

Wingspread

Vendor:
Delphi Systems, Ltd.
6740 Pennsylvania Ave.
Kansas City, Mo. 64113
816-333-6944

Exhibit: G

A sample “incident report” for succession planning.

Directions: The purpose of this incident report is to track successor/replacement experiences in DAODAS. Answer the questions below and the collective results of many incident reports will be used to identify program initiatives for the succession-planning program. Fill out this report for each position filled from within.

Name of departing employee:

Job title:

Department:

Time in position:

Reason for leaving:

Name of replacing employee:

Job title:

Department:

Work unit/team:

Time in position:

Today's date:

1. Describe how this position is being filled (internally/externally).

2. Was there an identifiable “successor” who had been prepared to assume this position previously? If so, briefly explain how the individual was being prepared; if not, briefly explain reasons for not preparing a successor.
3. Who was selected for the position, and why was he/she selected?
4. If an individual other than an identifiable successor was chosen for the position, explain why.

Approval

Management Employee: _____
(Signature)

Title: _____

Phone: _____

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